

1761



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Michael T. Wuesthoff, et al.

U.S. Serial No.

09/845,233

Filing Date:

April 30, 2001

For:

Method for the Direct Esterfication
of Sorbitol With Fatty Acids

Group Art Unit:

1761

Examiner:

Not Yet Known

Attorney Docket No.

DANI-0005USCON

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R.

§1.97(b)(3)

Assistant Commissioner for Patents

P.O. Box 2327

Arlington, VA 22202

Sir:

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Pursuant to 37 C.F.R. §1.56 and 1.97(b)(3), Applicants bring to the attention of the Examiner the documents listed on the attached Substitute Form PTO 1449 (in duplicate). As this Information Disclosure Statement is being filed before the issuance of the First Office Action no fee is believed to be due. However, if any fee is due; the Commissioner is authorized to charge Deposit Account No. 50-0462. Moreover, please credit any overpayment to Deposit Account No. 50-0462.

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I certify that this document, along with any document referred to as being attached, is being deposited with the U.S. Postal Service as first class mail under 37 C.F.R. §1.8 and is addressed to the Assistant Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202.

Lynne Wells

Name of person signing document

Lynne Wells

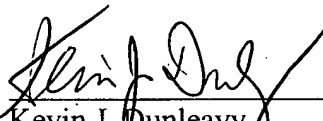
Signature of person signing document

Applicants respectfully request that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached Substitute PTO 1449 form.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art". If the Examiner applies any of the documents as prior art against any claims in the application and Applicants determined that the cited documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the Patent Office the relevant facts and law regarding the appropriate status of such documents. Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

Respectfully submitted,

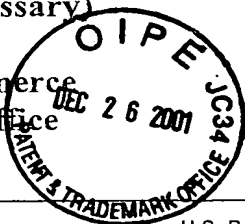
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U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	4,368,213	1/11/83	Hollenbach et al.			
	AB	4,461,782	7/24/84	Robbins et al.			
	AC	4,517,360	5/14/85	Volpenhein			
	AD	4,883,684	11/28/89	Yang			
	AE	4,931,552	6/5/90	Gibson et al.			
	AF	4,952,687	8/28/90	Bodor et al.			
	AG	5,055,571	10/8/91	Van Lookeren			
	AH	5,130,151	7/14/92	Averbach			
	AI	5,194,281	3/16/93	Johnston et al.			
	AJ	5,211,979	5/18/93	Bruijne et al.			
	AK	5,239,097	8/24/93	Barkey Wolf et al.			

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FOREIGN PATENT DOCUMENTS

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							YES	NO
	EA	WO 92/04360	3/19/92	PCT				
	EB	EP 0 233 856 B1	1/5/94	Europe				
	EC	EP 0 233 856 A2	2/19/87	Europe				
	ED	EP 0 290 420 B1	1/12/94	Europe				
	EE	EP 0 290 420 A2	5/6/88	Europe				

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	AL	5,250,155	10/5/93	Zwanenburg et al.			
	AM	5,306,515	4/26/94	Letton et al.			
	AN	5,366,753	11/22/94	Meyer et al.			
	AO	5,419,925	5/30/95	Seiden et al.			
	AP	5,422,131	6/6/95	Elsen et al.			
	AQ	5,472,728	12/5/95	Miller et al.			
	AR	5,532,019	7/2/96	Miller et al.			
	AS	5,536,524	7/16/96	Miller			
	AT	5,580,966	12/3/96	Buter et al.			
	AU	5,587,196	12/24/96	Mehnert et al.			
	AV	5,534,284	7/9/96	Corrigan et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	EF	0 290 420 A3	5/6/88	Europe				
	EG	WO 94/09637	5/11/94	PCT				
	EH	WO 94/09640	5/11/94	PCT				
	EI	EP 0 290 421 A3	5/6/88	Europe				
	EJ	EP 0 290 421 A2	5/6/88	Europe				

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AW	5,648,483	7/15/97	Granberg et al.			
AX	5,767,257	6/16/98	Schafermeyer et al.			
AY	5,039,544	8/13/91	Lansbergen et al.			
AZ	5,043,438	8/27/91	Buter			
BA	5,064,677	11/21/91	Cain et al.			
BB	5,079,355	1/7/92	Meszaros Grechke et al.			
BC	5,080,912	1/14/92	Bodenstein et al.			
BD	5,144,023	9/1/92	Willemse			
BE	5,225,049	7/6/93	Barmentlo et al.			
BF	5,231,199	7/27/93	Willemse			
BG	5,248,509	9/28/93	Bruin			

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EK	EP 0 290 421 B1	5/6/88	Europe				
EL	EP 0 311 154 B1	4/1/88	Euorpe				
EM	EP 0 311 154 A2	4/1/88	Europe				
EN	EP 0 311 154 A3	4/1/88	Europe				
EO	EP 0 236 288 B1	2/19/87	Europe				

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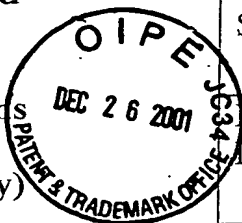
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	BH	4,382,924	5/10/83	Berling et al.			
	BI	4,518,772	5/21/85	Volpenhein			
	BJ	4,705,691	11/10/87	Kupper et al.			
	BK	4,789,664	12/6/88	Seligson et al.			
	BL	4,797,300	1/10/98	Jandacek et al.			
	BM	4,806,632	2/21/89	McCoy et al.			
	BN	4,810,516	3/7/89	Kong-Chan			
	BO	4,822,875	4/18/89	McCoy et al.			
	BP	4,835,001	5/30/89	Mijae et al.			
	BQ	4,880,657	11/14/89	Guffey et al.			
	BR	4,883,684	11/28/89	Yang			

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	EP	EP 0 236 288 A2	2/19/87	Europe				
	EQ	EP 0 271 963 B1	12/16/87	Europe				
	ER	EP 0 271 963 A2	12/16/87	Europe				
	ES	EP 0 271 963 A3	12/16/87	Europe				
	ET	EP 0 375 239 B1	12/11/89	Europe				

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	BS	4,940,601	7/10/90	Orphanos et al.			
	BT	4,942,228	7/17/98	Gibson			
	BU	4,960,602	10/2/90	Talkington et al.			
	BV	4,962,092	10/9/90	Wood, Jr.			
	BW	5,006,360	4/9/91	Howard et al.			
	BX	5,017,398	5/21/91	Jandacek et al.			
	BY	5,021,256	6/4/91	Guffey et al.			
	BZ	5,061,503	10/29/91	Kong-Chang et al.			
	CA	5,061,504	10/29/91	Kong-Chang et al.			
	CB	5,071,669	12/10/91	Seiden			
	CC	5,084,295	1/28/92	Whelan et al.			

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							YES	NO
	EU	EP 0 375 239 A2	12/11/89	Europe				
	EV	WO 92/04361	3/19/92	PCT				
	EW	EP 0 424 066 A2	10/15/90	Europe				
	EX	EP 0 424 066 A3	10/15/90	Europe				
	EY	EP 0 550 526 B1	8/29/91	Europe				

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	CO	5,314,707	5/24/94	Kester et al.			
	CP	5,318,790	6/7/94	Houston et al.			
	CQ	5,370,892	12/6/94	El-Nokaly et al.			
	CR	5,451,416	9/19/95	Johnston et al.			
	CS	5,480,667	1/2/96	Corrigan et al.			
	CT	5,491,226	2/13/96	Kenneally			
	CU	5,559,226	9/24/96	Sarama			
	CV	4,611,055	9/9/86	Yamamoto et al.			
	CW	4,334,061	6/8/82	Bossier, III			
	CX	5,504,202	4/2/96	Hutchinson			
	CY	5,474,795	12/12/95	Surber et al.			

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	FE	EP 0 256 585 A1	7/23/87	Europe				
	FF	EP 0 350 981 B1	6/21/89	Europe				
	FG	EP 0 350 981 A1	6/21/89	Europe				
	FH	EP 0 350 986 B1	6/27/89	Europe				
	FI	EP 0 350 986 A1	6/27/89	Europe				

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	CZ	5,486,372	1/23/96	Martin et al.			
	DA	5,518,754	5/12/96	Miller et al.			
	DB	5,596,085	1/21/97	Silver et al.			
	DC	5,681,948	10/28/97	Miller et al.			
	DD	5,378,478	1/3/95	Miller et al.			
	DE	5,440,027	8/8/95	Hasenhuettl			
	DF	4,973,682	11/27/90	Willemse			
	DG	4,968,791	11/6/90	Van Der Plank			
	DH	4,954,621	9/4/90	Massoka et al.			
	DI	4,973,681	11/27/90	Watanabe			
	DJ	4,877,871	10/31/89	Klemann et al.			

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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	FJ	EP 0 350 987 B1	6/27/89	Europe				
	FK	EP 0 350 987 A1	8/27/89	Europe				
	FL	EP 0 350 988 B2	6/27/89	Europe				
	FM	EP 0 350 988 A1	6/27/89	Europe				
	FN	EP 0 354 600 A2	2/15/89	Europe				

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	DK	5,527,866	6/18/96	Corrigan et al.			
	DL	5,085,884	2/4/92	Young et al.			
	DM	4,705,690	11/10/87	Brand et al.			
	DN	4,919,964	4/24/90	Adams et al.			

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	FO	EP 0 354 600 A3	2/15/89	Europe				
	FP	EP 0 387 876 A2	12/14/89	Europe				
	FQ	EP 0 378 876 A3	12/14/89	Europe				
	FR	EP 0 379 747 A2	12/7/89	Europe				
	FS	EP 0 379 747 A3	12/7/89	Europe				

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	FY	EP 0 416 665 A3	7/16/90	Europe				
	FZ	EP 0 416 665 A3	7/16/90	Europe				
	GA	EP 0 416 665 B1	7/16/90	Europe				
	GB	EP 0 398 409 A3	5/3/90	Europe				
	GC	EP 0 615 972 A1	3/19/93	Europe				

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	GE	EP 0 256 585 B2	7/23/87	Europe				
	GF	EP 0 384 508 B1	2/6/90	Europe				
	GG	EP 0 378 876 B1	12/14/89	Europe				
	GH	EP 0 354 600 B1	2/15/89	Europe				

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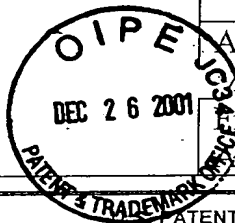
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							YES	NO
	GI	EP 0 379 747 B1	12/7/89	Europe				
	GJ	EP 0 379 747 B1	12/7/89	Europe				
	GK	EP 0 383 380 B1	2/8/90	Europe				
	GL	EP 0 398 409 A2	5/3/90	Europe				
	GM	EP 0 398 409 B1	3/5/90	Europe				

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							YES	NO
	GN	EP 0 424 066 B1	10/15/90	Europe				
	GO	EP 0 548 272 B1	8/3/91	Europe				
	GP	EP 0 666 713 B2	10/21/93	Europe				
	GQ	KR 9108734	10/19/91	Korea				✓
	GR	KR 9210520	12/4/92	Korea				✓

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							YES	NO
	GS	KR 9303497	5/1/93	Korea				✓
	GT	CA 2,006,132	12/20/89	Canada				
	GU	CA 1,185,610	6/21/82	Canada				
	GV	WO 97/00618	1/9/97	PCT				
	GW	WO 93/22932	11/25/93	PCT				

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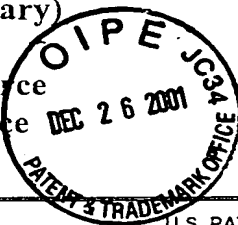
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	GY	JP 5-125389	5/21/93	Japan				✓
	GZ	GB 2 282 313	4/5/95	United Kingdom				

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